

FILE MAINTENANCE AND DISPOSITION PLAN Date Prepared: 11/22/06 Updated: 02/23/07, 02/28/07, 03/13/07, ORC, 09/05/07					
OFFICE NAME: Office of Compliance & Enforcement Air & RCRA Compliance Unit		OFFICE CONTACT PERSON: Neil Savage (206) 553-6687		REGIONAL RECORDS MANAGER: Joyce Aoyama (206) 553-2595	
Total Volume of Records for this File Station:		Total number of File Drawers: Legal size: Letter size:			
FILE PLAN					
AGENCY FILE CODES	OLD FILE CODE	AGENCY CATEGORY TITLE SERIES TITLE	DISPOSAL INSTRUCTIONS	NARA DISPOSAL AUTHORITY	LOCATION
108-025 223	EPA 223a	<i>Sampling and Analytical Data Files:</i> Item a: Record copy	Item a: Disposable Close inactive records upon completion of sampling activity. Destroy 10 years after file closure.	N1-412-07-22/1 Status: Final 6/30/2009	

AGENCY FILE CODES	OLD FILE CODE	AGENCY CATEGORY TITLE SERIES TITLE	DISPOSAL INSTRUCTIONS	NARA DISPOSAL AUTHORITY	LOCATION
108-025-01-01 217	EPA 217 a,b	<u>State Implementation Plans (SIPs):</u> Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic Item a(3): Electronic copy of records transferred to the National Archives Item b: Other copies	Item a(1): Permanent Close inactive records as plans are revised or superseded. Transfer to the National Archives in 5 year blocks 20 years after file closure. Item a(2): Permanent Close inactive records as plans are revised or superseded. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives. Item b: Disposable Close inactive records as plans are revised or superseded. Destroy 15 years after file closure.	N1-412-07-59/3 Status: Final, 12/31/2012	
108-025-05 256	EPA 256a	<u>Import and Export Notifications</u>	Taken out by NRMP - for HQ		
108-025-05 257	EPA 257 b, c, d	<u>National RCRA Information System (RCRAInfo)</u> Item b: Input Item e: Output and reports - Ad hoc reports	Item b: Disposable Follow instructions for EPA 171. Item e: Varies File with related records and follow instructions for related records.	N1-412-04-8 Status: Final 10/31/2009	

AGENCY FILE CODES	OLD FILE CODE	AGENCY CATEGORY TITLE SERIES TITLE	DISPOSAL INSTRUCTIONS	NARA DISPOSAL AUTHORITY	LOCATION
108-025-05 478	EPA 478 a, b	<i>RCRA Generators, Transporters and TSD Facilities Files</i> Item a(2): RCRA land disposal permits - Electronic Item b: Other permits for generators, transporters, and TSD facilities	Item a(2): Permanent Close inactive records at permit renewal or termination. Transfer to the National Archives 5 years after file closure with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item b: Disposable Close inactive records at permit renewal or termination. Destroy 10 years after file closure.	N1-412-07-6 Status: Final, 04/30/2011	
108-025-08 137	EPA 137a	<i>Federal Facilities Monitoring Files:</i> Item a: Record copy	Item a: Disposable Close inactive records at end of year. Destroy 5 years after file closure.	N1-412-07-1/4 Status: Final, 05/31/2009	

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108-025-08 206	EPA 206 a, b	<i>RCRA Corrective Action Files:</i> Item a(1): Corrective actions for RCRA land disposals - Nonelectronic Item a(2): Corrective actions for RCRA land disposals - Electronic Item a(3): Corrective actions for RCRA land disposals - Electronic copy of records transferred to the National Archives Item b: Other RCRA corrective actions	Item a(1): Permanent - Close inactive records when corrective process is terminated or when remedy is selected and there is no further action. Transfer to the National Archives 20 years after file closure. Item a(2): Permanent - Close inactive records when corrective process is terminated or when remedy is selected and there is no further action. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item a(3): Disposable - Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives. Item b: Disposable - Close inactive records when corrective process is terminated or when remedy is selected and there is no further action. Destroy 10 years after file closure.	N1-412-07-54/6 Status: Final, 4/30/2012	

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108-025-08 207	ENFO 207 a, b, c	<u>Enforcement Action Files:</u> Item a: Administrative case files, whether a formal enforcement action is initiated or not Item b: Judicial case files where routine legal actions are required Item c(1): Landmark or precedent cases - Nonelectronic Item c(2): Landmark or precedent cases - Electronic Item c(3): Landmark or precedent cases - Electronic copy of records transferred to the National Archives	Item a: Disposable Close inactive records upon settlement or closing of case. Destroy 10 years after file closure. Item b: Disposable Close inactive records upon settlement or closing of case. Destroy 20 years after file closure. Item c(1): Permanent Close inactive records upon settlement or closing of case. Transfer to the National Archives in 5 year blocks 20 years after file closure. If record is microform, destroy paper after quality assurance is completed. Item c(2): Permanent Close inactive records upon settlement or closing of case. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item c(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	N1-412-07-2/9 Status: Final 12/31/2012	
108-025-08 211	ENFO 211a	<u>Compliance Files:</u> Item a: Record copy	Item a: Disposable Close inactive records at end of year. Destroy 5 years after file closure.	N1-412-95-7/2A Status: Final, 12/31/2007	

AGENCY FILE CODES	OLD FILE CODE	AGENCY CATEGORY TITLE SERIES TITLE	DISPOSAL INSTRUCTIONS	NARA DISPOSAL AUTHORITY	LOCATION
205 003	CONT 003a	<u>Grants and Other Program Support Agreements:</u> Item a: Record copy	Item a: Disposable Close inactive records immediately after closeout of the agreement. Destroy 10 years after file closure.	N1-412-07-34 Status: Final 7/31/2010	
301-091 082	EPA 082a	<u>Response to Audit, Evaluation, and Investigation</u> Item a: Record copy	Item a: Disposable Close inactive records when corrective action is complete. Destroy 10 years after file closure.	N1-412-07-1/2 Status: Final, 04/30/2008	
301-093 006	PROG 006b	<u>Program Management Files:</u> Item b: Other than senior officials	Item b: Disposable Close inactive records at end of calendar year. Destroy 5 years after file closure.	N1-412-94-2/3 Status: Final, 12/31/2009	
301-093 203	OVER 203a	<u>State and Other Entity Relations and Oversight Files:</u> Item a: Record copy	Item a: Disposable Close inactive records at end of year. Destroy 10 years after file closure.	N1-412-07-1/9 Status: Final, 03/30/2007	
304-104-02 145	EPA 145a	<u>Program Development Files:</u> Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic Item a(3): Electronic copy of records transferred to the National Archives	Item a(1): Permanent Close inactive records at the end of the activity, project, or topic. Transfer to the National Archives 20 years after file closure. Item a(2): Permanent Close inactive records at the end of the activity, project, or topic. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	N1-412-06-29 Status: Final, 01/31/2011	

AGENCY FILE CODES	OLD FILE CODE	AGENCY CATEGORY TITLE SERIES TITLE	DISPOSAL INSTRUCTIONS	NARA DISPOSAL AUTHORITY	LOCATION
305-109 089	EPA 089a	<i>Information Tracking Systems:</i> Item a: Record copy	Item a: Disposable - Delete when 2 years old, or 2 years after the date of the last entry; whichever is applicable.	GRS 23/8 Status: Final 12/31/2012	
305-109-01 258	EPA 258 a, b, c	<i>Final Deliverables and Reports:</i> Item a(1): Environmental programs, except Superfund site-specific - Nonelectronic Item a(2): Environmental programs, except Superfund site-specific - Electronic Item a(3): Environmental programs, except Superfund site-specific - Electronic copy of records transferred to the National Archives Item b: Superfund site-specific Item c: Non-environmental programs	Item a(1): Permanent Close inactive records upon completion of project. Transfer to the National Archives 20 years after file closure. Item a(2): Permanent Close inactive records upon completion of project. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives. Item b: Disposable Close inactive records upon completion of project. Destroy 30 years after file closure. Item c: Disposable Close inactive records upon completion of project. Destroy 7 years after file closure.	N1-412-06-27 Status: Final, 2/28/2011	
305-109-02-04 140	EPA 140b	<i>Speeches and Testimony:</i> Item b: Other federal employees when the speeches are not necessary to document the Agency or its programs	Item b: Disposable Close inactive records at end of calendar year. Destroy 5 years after file closure.	N1-412-06-8 Status: Final, 1/31/2011	

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305-109-02-04 200	EPA 200 a, c	<i>Training Material</i> Item a: Routine training materials Item c(1): Mission-related training materials - Nonelectronic Item c(2): Mission-related training materials - Electronic Item c(3): Mission-related training materials - Electronic copy of records transferred to the National Archives	Item a: Disposable - Close inactive records after course or material is superseded. Destroy 5 years after file closure. Item c(1): Permanent - Close inactive records after course or material is superseded. Transfer to the National Archives in 5 year blocks 20 years after file closure. Item c(2): Permanent - Close inactive records after course or material is superseded. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item c(3): Disposable - Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	N1-412-06-11 Status: Final, 4/30/2012	

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305-109-02-04 250	EPA 250	<p><i>Publications and Promotional Items</i></p> <p>Item a(1): Items depicting EPA's environmental mission activities - Nonelectronic</p> <p>Item a(2): Items depicting EPA's environmental mission activities - Electronic</p> <p>Item a(3): Items depicting EPA's environmental mission activities - Electronic copy of records transferred to the National Archives</p> <p>Item b: Routine publications or promotional items</p> <p>Item c: Working papers and background materials</p>	<p>Item a(1): Permanent Close inactive records upon publication or when document becomes obsolete, is superseded, or no longer needed to support program activities. Transfer to the National Archives 20 years after file closure.</p> <p>Item a(2): Permanent Close inactive records upon publication or when document becomes obsolete, is superseded, or no longer needed to support program activities. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b: Disposable Close inactive records after publication or when document becomes obsolete, is superseded, or no longer needed to support program activities. Destroy 5 years after file closure.</p> <p>Item c: Disposable Close inactive records after publication or when document becomes obsolete, is</p>	N1-412-06-9 Status: Final, 4/30/2012	

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305-109-02-04 309	EPA 309 a, b	<p><u>Information Requests and Acknowledgment Files:</u></p> <p>Item a: Routine requests for information and replies</p> <p>Item b: Acknowledgments and transmittals of inquiries and requests referred elsewhere for reply</p>	<p>Item a: Disposable Destroy when 3 months old.</p> <p>Item b: Acknowledgments and transmittals of inquiries and requests referred elsewhere for reply</p>	<p>GRS 14/1 (Item a)</p> <p>GRS 14/2 (Item b)</p> <p>Status: Final, 02/01/2007</p>	
306-112 007	DIRE 007 a, b	<p><u>Directives and Policy Guidance Documents Issued by Specific Programs and Regions:</u></p> <p>Item a(1): Published or released to the public and related background materials - Nonelectronic</p> <p>Item a(2): Published or released to the public and related background materials - Electronic</p> <p>Item a(3): Published or released to the public and related background materials - Electronic copy of records transferred to the National Archives</p> <p>Item b: Unpublished or not released to the public and related background materials</p>	<p>Item a(1): Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives in 5 year blocks, 20 years after file closure.</p> <p>Item a(2): Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b: Disposable Close inactive records upon decision to not publish or issue. Destroy 10 years after file closure.</p>	<p>N1-412-06-7</p> <p>Status: Final, 12/31/2010</p>	

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401-121 624	EPA 624 a, b	<u>Confidential Business Information (CBI) Access:</u> Item a: Federal employees Item b: Contract employees and companies	Item a: Disposable Close inactive records when access is terminated. Destroy 2 years after file closure. Item b: Disposable Close inactive records when access is terminated. Destroy 7 years after file closure.	N1-412-07-1/14 Status: Final, 03/30/2007	
404-141-02-03 150	EPA 150 a, b	<u>Dockets:</u> Item a: Final docket Item b: Inactive, nonfinal docket, and documents of short-term value	Item a: Disposable Close inactive records after publication of rule or close of docket. Destroy 20 years after file closure. Item b: Disposable Close inactive records 5 years after last activity. Destroy 5 years after file closure.	N1-412-04-4 Status: Final, 04/30/2012	
405 202	CONT 202 b, c	<u>Contract Management Records:</u> Item b: Contract-level Contracting Officer's Representative (COR) Formerly called Project Officer (PO) Item c: Other Contracting Officer's Representatives (CORs)	Item b: Disposable Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment. Destroy 6 years and 3 months after final payment for the overall contract. Item c: Disposable Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment. Destroy 6 years and 3 months after final payment for the overall contract.	N1-412-06-6/5 Status: Final, 10/31/2008	
0 008	NONR 008	<u>Nonrecords</u>			

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